

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: Arnold Plonski

Serial No.: N/A

Filed: Filed Herewith

For: OPTION PREMIUM ENHANCED TOTAL RETURNS FROM A
PREDETERMINED INDEX OF ETC TYPE PORTFOLIO

Pitney, Hardin, Kipp & Szuch LLP
685 Third Avenue
New York, New York 10017

INFORMATION DISCLOSURE STATEMENT

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

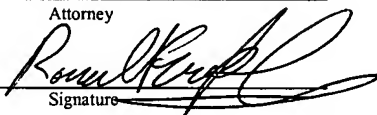
SIR:

Applicants respectfully request that the four (4) U.S. patents and references listed on
attached PTO Form 1449 be considered and made of record in the above-identified application.

I hereby certify that this correspondence is being deposited
with the United States Postal Service as first class mail in
an envelope addressed: Commissioner of Patents, P.O. Box
1450, Alexandria, VA 22313-1450, on December 29, 2003

Ronald E. Brown

Attorney



Signature

December 29, 2003

Date of Signature

The Commissioner is hereby authorized to charge any additional
fees which may be required, or credit any overpayment to
Account No. 50-1145, Order No. 004881.106357.

004881.106357

Copies of these documents are enclosed.

Respectfully submitted,

A handwritten signature in black ink, appearing to read "Gerald Levy", with a stylized flourish at the end.

Gerald Levy

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INFORMATION DISCLOSURE CITATION
(Use several sheets if necessary)

Docket Number (Optional)

004881.106357

Application Number

N/A

Applicant(s)

Filing Date

Herewith

Group Art Unit

U.S. PATENT DOCUMENTS

*EXAMINER INITIAL	REF	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
		US 2002/0174056 A1	11/21/02	Sefein et al.			
		US 2003/0069821 A1	4/10/03	Williams			
		6,064,985	5/16/00	Anderson			

FOREIGN PATENT DOCUMENTS

	REF	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	Translation	
							YES	NO

OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)

		"Strategies for Equity Investors-Covered Combination", E*Trade Canada, pgs. 1-6

EXAMINER

DATE CONSIDERED

EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP Section 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.